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PTO/SB/01 (12-97)

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☒ Declaration  
Submitted  
With Initial  
Filing

**OR**

☐ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

|                          |               |
|--------------------------|---------------|
| Attorney Docket Number   | 3439          |
| First Named Inventor     | Cawley et al. |
| <b>COMPLETE IF KNOWN</b> |               |
| Application Number       | /             |
| Filing Date              | Herewith      |
| Group Art Unit           | TBD           |
| Examiner Name            | TBD           |

**As a below named inventor, I hereby declare that:**

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND COMPUTER SOFTWARE PRODUCT FOR PREDICTING  
POLYADENYLATION SITES**

the specification of which (Title of the Invention)

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed

| Prior Foreign Application<br>Number(s) | Country | Foreign Filing Date<br>(MM/DD/YYYY) Country | Priority<br>Not Claimed  | Certified Copy Attached? |                          |
|--|---------|---|--------------------------|--------------------------|--------------------------|
|  |         |   |                          | YES                      | NO                       |
|  |         |   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) | <input type="checkbox"/> Additional provisional application<br>numbers are listed on<br>a supplemental priority data sheet<br>PTO/SB/02B attached hereto. |
|-----------------------|--------------------------|---|
|                       |                          |   |

[Page 1 of 2]

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365© of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--|---------------------------------|--------------------------------------|
|  |                                 |                                      |

Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith

☐ Customer Number

OR

☒ Registered practitioner(s) name/registration number listed below

Place Customer Number Bar Code Label here

| Name             | Registration Number | Name                 | Registration Number |
|------------------|---------------------|----------------------|---------------------|
| Vern Norviel     | 32,483              | Philip L. McGarrigle | 31,395              |
| Wei Zhou         | 44,419              | Alan B. Sherr        | 42,147              |
| Joe Liebeschuetz | 37,505              |                      |                     |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to:

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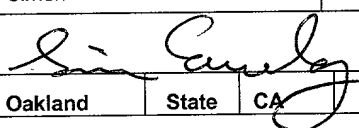
22886

OR

☒ Correspondence address below


|         |                                       |           |              |     |              |
|---------|---------------------------------------|-----------|--------------|-----|--------------|
| Name    | Affymetrix, Inc.                      |           |              |     |              |
| Address | General IP Counsel - Legal Department |           |              |     |              |
| Address | 3380 Central Expressway               |           |              |     |              |
| City    | Santa Clara                           | State     | CA           | ZIP | 95051        |
| Country | USA                                   | Telephone | 408/731-5000 | Fax | 408/731-5392 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

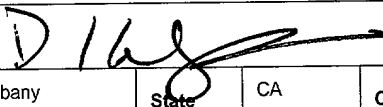
|  |   |   |                        |         |          |
|--|---|---|------------------------|---------|----------|
| Name of Sole or First Inventor:        |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                        |         |          |
| Given Name (first and middle (if any)) |   |   | Family Name or Surname |         |          |
| Simon                                  |   |   | Cawley                 |         |          |
| Inventor's Signature                   |  |   |                        | Date    | 12/29/01 |
| Residence: City                        | Oakland   | State   | CA                     | Country | USA      |
| Post Office Address                    |   |   |                        |         |          |
| Post Office Address                    | 5343 Broadway Terrace, #404   |   |                        |         |          |
| City                                   | Oakland   | State   | CA                     | ZIP     | 94618    |
| Country                                | USA   |   |                        |         |          |

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto


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**Supplemental Sheet**  
Page 3 of 4

|  |   |   |    |                        |          |         |             |
|--|---|---|----|------------------------|----------|---------|-------------|
| Name of Additional Joint Inventor, if any: |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |          |         |             |
| Given Name (first and middle [if any])     |   |   |    | Family Name or Surname |          |         |             |
| Raymond                                    |   |   |    | Wheeler                |          |         |             |
| Inventor's Signature                       |  |   |    | Date                   | 12/20/01 |         |             |
| Residence: City                            | Berkeley  | State   | CA | Country                | USA      |         | Citizenship |
| Post Office Address                        |   |   |    |                        |          |         |             |
| 1947 Oregon St, #6                         |   |   |    |                        |          |         |             |
| City                                       | Berkeley  | State   | CA | ZIP                    | 94703    | Country | USA         |

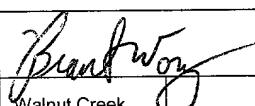
|  |  |   |    |                        |           |         |             |
|--|--|---|----|------------------------|-----------|---------|-------------|
| Name of Additional Joint Inventor, if any: |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |           |         |             |
| Given Name (first and middle [if any])     |  |   |    | Family Name or Surname |           |         |             |
| David                                      |  |   |    | Kulp                   |           |         |             |
| Inventor's Signature                       |  |   |    | Date                   | 20 DEC 01 |         |             |
| Residence: City                            | Albany   | State   | CA | Country                | USA       |         | Citizenship |
| Post Office Address                        |  |   |    |                        |           |         |             |
| 827 Jackson St.                            |  |   |    |                        |           |         |             |
| City                                       | Albany   | State   | CA | Zip                    | 94706     | Country | USA         |

|  |   |   |    |                        |            |         |             |
|--|---|---|----|------------------------|------------|---------|-------------|
| Name of Additional Joint Inventor, if any: |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |            |         |             |
| Given Name (first and middle [if any])     |   |   |    | Family Name or Surname |            |         |             |
| Alan                                       |   |   |    | Williams               |            |         |             |
| Inventor's Signature                       |  |   |    | Date                   | 12-20-2001 |         |             |
| Residence: City                            | Albany  | State   | CA | Country                | USA        |         | Citizenship |
| Post Office Address                        |   |   |    |                        |            |         |             |
| 1026 Curtis St.                            |   |   |    |                        |            |         |             |
| City                                       | Albany  | State   | CA | Zip                    | 94706      | Country | USA         |

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**Supplemental Sheet**  
Page 4 of 4

|  |   |   |    |                        |       |             |          |
|--|---|---|----|------------------------|-------|-------------|----------|
| Name of Additional Joint Inventor, if any: |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |       |             |          |
| Given Name (first and middle [if any])     |   |   |    | Family Name or Surname |       |             |          |
| Brant                                      |   |   |    | Wong                   |       |             |          |
| Inventor's Signature                       |  |   |    |                        |       | Date        | 12/10/01 |
| Residence: City                            | Walnut Creek  | State   | CA | Country                | USA   | Citizenship | USA      |
| Post Office Address                        |   |   |    |                        |       |             |          |
| 1453 Treat Blvd.                           |   |   |    |                        |       |             |          |
| City                                       | Walnut Creek  | State   | CA | ZIP                    | 94596 | Country     | USA      |
| Name of Additional Joint Inventor, if any: |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |       |             |          |
| Given Name (first and middle [if any])     |   |   |    | Family Name or Surname |       |             |          |
|  |   |   |    |                        |       |             |          |
| Inventor's Signature                       |   |   |    |                        |       | Date        |          |
| Residence: City                            |   | State   |    | Country                |       | Citizenship |          |
| Post Office Address                        |   |   |    |                        |       |             |          |
| Post Office Address                        |   |   |    |                        |       |             |          |
| City                                       |   | State   |    | Zip                    |       | Country     |          |
| Name of Additional Joint Inventor, if any: |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |       |             |          |
| Given Name (first and middle [if any])     |   |   |    | Family Name or Surname |       |             |          |
|  |   |   |    |                        |       |             |          |
| Inventor's Signature                       |   |   |    |                        |       | Date        |          |
| Residence: City                            |   | State   |    | Country                |       | Citizenship |          |
| Post Office Address                        |   |   |    |                        |       |             |          |
| Post Office Address                        |   |   |    |                        |       |             |          |
| City                                       |   | State   |    | Zip                    |       | Country     |          |

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# Assignment of Rights, Title and Interest in Invention (Multiple Inventors; Single Assignee)

*This is an Assignment of the following rights, title and interest: (check all that apply):*

- ☒ *United States of America rights, title and interest in the invention*
- ☒ *Foreign Rights, title and interest in the invention*
- ☒ *United States Patent Application Serial No.* \_\_\_\_\_

*Date of Execution:* \_\_\_\_\_ *Date of Filing:* Herewith

- ☐ *United States Provisional Patent Application Serial No.* \_\_\_\_\_
- ☐ *United States Patent No(s).* \_\_\_\_\_
- ☐ *International (PCT) Patent Application Serial No.* \_\_\_\_\_
- ☐ *Other (specify)* \_\_\_\_\_

## Title of Invention

METHOD AND COMPUTER SOFTWARE PRODUCT FOR PREDICTING POLYADENYLATION  
SITES

## Inventors (assignors)

| <i>Name</i>   | <i>Address</i>                                 |
|---------------|--|
| Simon Cawley  | 5343 Broadway Terrace, #404, Oakland, CA 94619 |
| Ray Wheeler   | 1947 Oregon St., #6, Berkeley, CA 94703        |
| David Kulp    | 827 Jackson St., Albany, CA 94706              |
| Alan Williams | 1026 Curtis St., Albany, Ca 94706              |
| Brant Wong    | 1453 Treat Blvd., #315, Walnut Creek, CA 94596 |
|               |  |
|               |  |
|               |  |

## Assignee:

| <i>Name</i>           | <i>Address</i>                                 |
|-----------------------|--|
| Affymetrix, Inc. (DE) | 3380 Central Expressway, Santa Clara, CA 95051 |

## Assignment of Rights, Title and Interest in Invention (Multiple Inventors; Single Assignee)

*Whereas, we, the above-identified Inventors, have invented certain new and useful improvements in the Invention identified above and described in the above-identified patent application(s) and/or patent(s) (hereinafter referred to as "Invention");*

*And whereas we desire to assign our above-identified rights, title and interest in the Invention to the above-identified Assignee;*

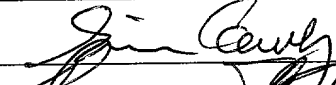
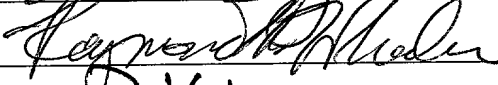
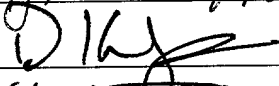
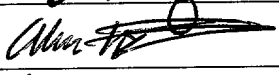
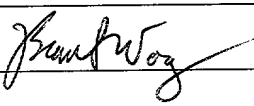
*Now, this indenture witnesseth, that for good faith and valuable consideration, the receipt whereof is hereby acknowledged;*

*We hereby assign, sell and transfer our above-identified rights, title and interest in said Invention, said application(s) as identified above, including any divisions, continuations, and continuation-in-part thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereof, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to us with respect to the filing of applications for patents or securing patents in the United States and countries foreign thereto, unto said Assignee;*

*And we hereby authorize and request the Commissioner of Patents and Trademarks to issue any United States Letters Patent which may issue for said Invention to said Assignee, as assignee of the whole right, title and interest thereto;*

*And we further agree to sign and execute all necessary and lawful future documents, including any applications for foreign patents, for filing divisions, continuations and continuations-in-part of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid Invention, as the Assignee of its Designee(s) may from time to time require and prepare at its own expense.*

### *Inventor's Signatures*

| <i>Name</i>     | <i>Signature/ Date</i>  |
|-----------------|---|
| Simon Cowley    |  12/20/01   |
| Raymond Wheeler |  12/20/01   |
| DAVID KULP      |  20 DEC 01  |
| Alan Williams   |  12-20-2001 |
| Brant Wong      |  12-20-2001  |
|                 |   |
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